

**GUIDELINES FOR THE AWARD OF DOCTORAL SCHOLARSHIPS AT PHILIPPS-UNIVERSITÄT MARBURG
of 02/19/2020**

In accordance with § 3, para. 2, no. 6 of the Statutes of Philipps-Universität Marburg (GrundO) of October 12, 2018, the Senate of Philipps-Universität Marburg has adopted the following Guidelines on February 19, 2020.

§ 1 Purpose

Philipps-Universität Marburg awards doctoral scholarships regularly on a yearly basis for dissertation projects of exceptional academic quality to outstanding junior scholars who would like to pursue their dissertation at Philipps-Universität Marburg.

§ 2 Scholarship

- (1) Philipps-Universität Marburg's doctoral scholarship is designated to provide financial support to junior scholars pursuing a doctoral degree. The scholarship does not constitute income in accordance with §§ 18, 19 EStG.
- (2) A doctoral scholarship awarded by Philipps-Universität Marburg does not constitute an employment relationship between Philipps-Universität Marburg and the scholarship holder. The payments received therefore do not qualify as remuneration within the meaning of § 14 SGB IV and are hence not income subject to mandatory social security contributions.
- (3) A doctoral scholarship can only be granted if the scholarship holder is receiving no other scholarship from public or private funds and is not pursuing regular gainful activities exceeding 10 hours per week.
- (4) Income from gainful employment in research and teaching, conducive to the scholarship holder's academic work, of up to 10 hours per week at a university or non-university research institution will not be deducted from the scholarship. Income from self-employment or other employment as well as transfer payments (earnings before taxes) and income from assets of the scholarship holder will be deducted from the scholarship to the extent that such income exceeds the exempted amount of 6,000 EUR annually (for each scholarship year). Income from assets is
 - income from capital assets (e.g., interest on savings deposits),
 - rental and lease income,
 - income from company shares,
 - income from business ownership,
 - income from agriculture and forestry.

§ 3 Scholarship Amount and Duration

- (1) Currently, the scholarship is 1,300 EUR per month plus a monthly materials allowance of 103 EUR and, if applicable, a child allowance. The scholarship does not include a living-abroad allowance or cost-of-living adjustments. Where applicable, payment of the scholarship (basic amount and materials allowance) can be continued during a stay abroad provided that it is not interrupted (see § 3, para. 4).
- (2) Philipps-Universität Marburg applies the German Research Foundation's (DFG) rules on child allowances, on equal opportunity of scholarship holders with children, as well as on partial scholarships as laid down in the current version of its "Verwendungsrichtlinien, Bedingungen für Förderverträge mit der Deutschen Forschungsgemeinschaft e.V. (DFG)

über Graduiertenkollegs" (Usage Guidelines, Conditions for Research Agreements with the Deutsche Forschungsgemeinschaft e.V. (DFG) on Research Training Groups.

- (3) The maximum duration of the scholarship is 36 months. Funding ends no later than three months after the month of the last oral exam or at the close of the month in which the candidate discontinues doctoral work at Philipps-Universität Marburg for other reasons (such as abandoning the PhD or transferring to another university to pursue it). In addition, the scholarship can extend beyond this period in accordance with the policies to promote equal opportunity between female and male scholarship holders with children, in the event of illness or severe disability (see § 3, para. 5), and/or in the case of partial scholarships (see § 3, para. 2). Extensions are added at the end of the approved scholarship period. In total, they may not exceed the equivalent of one year of full-time enrollment.
- (4) Illness of up to six weeks' duration does not affect scholarship payments. Scholarship holders are given the option to apply for a pause in funding in the event of prolonged illness or severe disability, for family reasons, or to participate in other qualification programs (e.g., a stay abroad funded through other sources or an industrial internship) in consultation with the doctoral candidate's advisor. The scholarship shall usually not be interrupted for more than six months.
- (5) In the event of prolonged illness, a scholarship extension of up to one year may also be granted in individual cases upon presentation of a medical certificate and with the approval of the Selection Committee for Awarding Doctoral Scholarships of Philipps-Universität Marburg. Scholarship holders who are demonstrably prevented from continuing their work by a severe disability are granted an extension of their scholarship of up to one year.
- (6) The scholarship is initially granted for a twelve- or 24-month period. The scholarship is extended for an additional twelve months for a second and third time upon favorable evaluation by the Selection Committee for Awarding Doctoral Scholarships of Philipps-Universität Marburg (see § 8, para. 1–3). In the case of partial scholarships, the time at which the scholarship is extended is shifted accordingly.
- (7) In the event that an applicant's income is too high, an honorary scholarship can be awarded. In this case, the candidate receives a one-time book allowance of 300 EUR.

§ 4 Call for Applications and Procedure

- (1) The President usually issues a public call for applications by July 15 of the year before the scholarship is awarded. The application deadline is usually September 1 of the same year.
- (2) The scholarship usually starts on January 1.

§ 5 Application Requirements

- (1) Candidates may apply for a doctoral scholarship offered by Philipps-Universität Marburg if
 - they have completed university studies qualifying for admission as a doctoral student; a certificate of proof must be submitted at the latest by the time funding begins; doctoral candidates subject to aptitude assessment must provide proof of having met the vast majority of study requirements by the time of the application deadline;
 - they have proven outstanding academic research ability through exceptional results in previous studies and examinations;
 - their proposed doctoral research promises to make an important and outstanding contribution to the advancement of knowledge in their field of research; and
 - they have been admitted as doctoral candidates at Philipps-Universität Marburg; proof of admission must be submitted at the latest by the time funding begins; if pursuing a doctorate via the "fast track," by the application deadline at least one year must have passed since the time of admission to pursue a doctoral degree.

- (2) The following documents must be submitted for application:
- A fully completed application form for a doctoral scholarship at Philipps-Universität Marburg.
 - A description of the proposed research project, including a work and time schedule and a statement on the reasons for pursuing the doctorate at Philipps-Universität Marburg (6 pages max.).
 - A curriculum vitae in tabular form (1 page max.).
 - A letter of recommendation from the first advisor of the dissertation (primary review of the dissertation proposal).
 - Proof of completion of university studies (certificate of graduation) including a transcript of records; if this proof is not yet available, the following documents can be submitted preliminarily provided that the course of studies has been completed: a list of examination grades, a statement by the advisor assuring that the final thesis will receive an excellent grade (if applicable), and a statement by the dean's office that the requirements for admission as a doctoral candidate will be fulfilled upon provision of the necessary documents; proof of completion of university studies must be submitted at the latest by the time funding begins; doctoral candidates subject to aptitude assessment require confirmation by the Dean's Office that the vast majority of study requirements have been met or no additional study requirements must be met.
 - A certificate of admission as a doctoral candidate to a faculty of Philipps-Universität or a statement documenting that the requirements for admission to a faculty of Philipps-Universität are fulfilled; the certificate of admission must be submitted at the latest by the time funding begins.
 - A separate statement by the candidate that she or he will not be receiving another scholarship from public or private funds, income from employment (or self-employment), or transfer payments once the scholarship begins (should any of the aforementioned apply, a statement must be provided accordingly); should the candidate receive income from employment (or self-employment) or transfer payments, additional proof of such income must be provided.
- (3) The office of the dean of the faculty is requested to provide the following documents after the end of the application period:
- A secondary review of the dissertation proposal (external reviewers are accepted); this secondary review may not be prepared by a primary reviewer of any of the applicants.
- (4) In addition to the statement required in accordance with § 5, para. 2, bullet point 7, the Selection Committee will contact the candidate once the scholarship has been awarded and request a separate statement on income from assets and other sources using the designated form (see Appendix 1 to these Guidelines).
- (5) The candidates are required to sign a statement of truthfulness (see Appendix 2 to these Guidelines).

§ 6 Selection Committee

- (1) The President's Office appoints from the ranks of the professors at Philipps-Universität a Selection Committee for Awarding Doctoral Scholarships of Philipps-Universität Marburg ("Selection Committee"). This Selection Committee consists of a regular member and an alternate member each from the four fields (sections) listed below who are to act as permanent representatives and a regular member and an alternate member from the four fields listed below who are to act as additional representatives in the process of awarding the scholarships in the humanities and social sciences (sections a and b) and in the life and natural sciences (sections c and d), respectively. The four fields are
- a) law, economics, and the social sciences,

- b) philosophy and cultural studies,
- c) mathematics and the natural sciences,
- d) life sciences and medicine.

The Executive Director and the Deputy Executive Director of MARburg University Research Academy (MARA) act in a dual role on the Selection Committee: as representatives of the respective field in their area of responsibility and as representatives of MARA.

- (2) The term of appointment is three years for all Selection Committee members other than the chair and can be extended once by another three years.
- (3) The member of the President's Office responsible for junior scholars assumes the chair *ex officio*. The deputy chair is determined by vote.
- (4) The vote shall be exercised pursuant to § 13, para. 1, sent. 1 of the Rules of Procedure for Bodies (*Geschäftsordnung für Gremien*) in its current version.
- (5) § 13, para. 2 of the Rules of Procedure for Bodies in its current version is to be observed. Furthermore, a member of the Selection Committee may not participate in consultations and decision making in the event that an applicant is, for instance, a close relative of or a doctoral candidate or employee under the supervision of that member. § 3, para. 2, sent. 1 of the Rules of Procedure for Bodies in its current version applies accordingly.

§ 7 Selection Procedure

- (1) The Selection Committee draws up a shortlist of candidates from the submitted applications and, on the basis of the candidates' presentations and applications, makes a recommendation on whether to award the scholarship and, if so, on the length of the initial period for which the scholarship shall be awarded.
- (2) Applications shall be assessed on the basis of
 - a) the description of the planned research project including the work and time schedule, the reviews, and
 - b) the results of previous studies and examinations.
- (3) The major selection criterion is the applicant's exceptional qualifications. Besides academic achievements in previous studies, the candidate's exceptional qualifications are primarily assessed on the basis of the high academic excellence of the dissertation proposal. It is expected to make an important and outstanding contribution to advancing knowledge in the respective academic field (academic relevance). In addition to enhancing academic knowledge in the field, aspects contributing to science policy or of economic-technical or socio-political significance can also be considered in this respect. Apart from the research objective and the work and time schedule, the high academic excellence of the dissertation proposal is first and foremost reflected in the research plan/research design (research approach, methodology etc.).
- (4) The Selection Committee makes a recommendation for ranking the candidates on the shortlist of applicants and for the length of the initial period for which the scholarship shall be awarded. Once the scholarships are awarded, the order of candidates remains in place. The remaining candidates form the pool of alternates in the order of ranking. The next alternate in line takes the place of the person awarded the scholarship in the event that a scholarship is waived within the first year of funding.
- (5) The recommendation is submitted to the President's Office in written form.
- (6) The President's Office makes the final decision on scholarship awards and the initial period of funding on the basis of the recommendation of the Selection Committee and informs the Senate of its decision.

§ 8 Continuation and End of Scholarship

- (1) Approval of the continuation of the scholarship in the second (if applicable) and third year is given by the member of the President's Office responsible for junior scholars upon favorable evaluation by the Selection Committee for Awarding Doctoral Scholarships of Philipps-Universität Marburg. In the case of partial scholarships, the time of approval is shifted accordingly.
- (2) For this purpose, the scholarship holder must submit a written interim report and a review by her or his advisor in due time (at least six weeks) before the end of the first or second year of the scholarship, as the case may be. In the case of partial scholarships, the deadline for submitting these documents is shifted accordingly.
- (3) The Selection Committee for Awarding Doctoral Scholarships of Philipps-Universität Marburg issues a recommendation on the continuation of the scholarship usually no later than four weeks before the end of the respective funding period. The recommendation shall be based on the interim report and the review. § 7, para. 3, sent. 1–4 apply to the recommendation on the continuation of the scholarship accordingly. The recommendation is submitted in written form to the member of the President's Office responsible for junior scholars. She/he informs the President's Office of her/his decision.
- (4) A written final report is to be submitted after the end of funding.

§ 9 Responsibilities of Scholarship Holders for the Duration of the Scholarship

- (1) Scholarship holders are expected to immediately become a member of MARburg University Research Academy at Philipps-Universität Marburg once the scholarship begins in order to benefit from the support structures for postgraduate students.
- (2) The scholarship holder is obligated to immediately indicate any change in her/his factual and legal circumstances, particularly in her/his personal or economic status (e.g., birth of a child, receipt of another scholarship, changes in income from employment or assets) and to provide proof thereof.
- (3) Scholarship holders are required to indicate all scholarships, transfer payments, as well as income from self-employment, employment, and assets and to provide proof thereof annually without further request.
- (4) Further obligations of proof may emanate from, for instance, choice of the "money-instead-of-time" option in accordance with the DFG provisions for the promotion of equal opportunity laid down in the current version of its "Verwendungsrichtlinien, Bedingungen für Förderverträge mit der Deutschen Forschungsgemeinschaft e.V. (DFG) über Graduiertenkollegs" (Usage Guidelines, Conditions for Research Agreements with the Deutsche Forschungsgemeinschaft e.V. (DFG) on Research Training Groups) (requiring specific proof of expenses for childcare).

§ 10 Reduction or Revocation of the Scholarship

- (1) Overpayments of scholarship funds must be refunded immediately.
- (2) In some circumstances the scholarship can be reduced once payments have begun. The amount must invariably be reduced in the following cases:
 - Income from self-employment and employment that does not consist of gainful employment in research and teaching, conducive to the scholarship holder's academic work, of up to 10 hours per week at a university or non-university research institution as well as income from transfer payments and assets will be fully deducted from the scholarship to the extent that such income exceeds 6,000 EUR annually (for each scholarship year).

- (3) Philipps-Universität Marburg reserves the right to revoke the scholarship retroactively and issue a claim for refund in the event that
- the recipient provided inaccurate or incomplete information to obtain the scholarship,
 - requirements are not met or are not met by the deadline specified by Philipps-Universität Marburg,
 - the scholarship holder receives another scholarship from public or private funds and there are no (or no longer) valid reasons for interrupting the scholarship,
 - the scholarship holder pursues regular gainful activities of more than 10 hours per week,
 - income from transfer payments, from self-employment or employment that does not consist of gainful employment in research and teaching, conducive to the scholarship holder's academic work, of up to 10 hours per week at a university or non-university research institution, and from assets beyond the amount exempted has exceeded the monthly scholarship amount for a period of more than six months and there are no (or no longer) valid reasons for interrupting the scholarship,
 - overpayments are not immediately refunded.
- (4) Lapse of unjust enrichment (*Wegfall der Bereicherung*) cannot be invoked in defense against claims for refunding overpaid amounts brought forth by Philipps-Universität Marburg.

§ 11 Entry into Force

These Guidelines enter into force the day after publication in Philipps-Universität Marburg's Official Notices.

Marburg, February 24, 2020

Sgd.

Prof. Dr. Katharina Krause
President of Philipps-Universität Marburg

Statement on Scholarships and Income

I expect to receive other scholarships and/or income during the funding period:

no [...]

yes [...]

If yes, this income will be from

(1) a scholarship from public or private funds

from [...]

to [...]

total amount (in EUR): [...]

(2) regular gainful activities of more than 10 hours per week

from [...]

to [...]

total amount (in EUR): [...]

(3) transfer payments

from [...]

to [...]

total amount (in EUR): [...]

(4) income from employment

from [...]

to [...]

total amount (in EUR): [...]

If you have such income, is it income from gainful employment in research and teaching, conducive to your academic work, of up to 10 hours per week at a university or non-university research institution?

yes

no

(5) income from self-employment

from [...]

to [...]

total amount (in EUR): [...]

(6) income from capital assets (e.g., interest on savings deposits)

from [...]

to [...]

total amount (in EUR): [...]

(7) income from renting and leasing

from [...]

to [...]

total amount (in EUR): [...]

(8) income from company shares

from [...]

to [...]

total amount (in EUR): [...]

(9) income from business ownership

from [...]
to [...]
total amount (in EUR): [...]

(10) income from agriculture and forestry

from [...]
to [...]
total amount (in EUR): [...]

Please submit proof of income. Please immediately indicate any changes in income during the funding period and provide proof of income annually without further request.

Statement of Truthfulness

I understand

- that inaccurate and incomplete information or failure to provide notification of change can be subject to criminal prosecution and that amounts unduly paid will be reclaimed,
- that I am obligated to immediately indicate any change in my economic circumstances (e.g., regarding my income) as well as in my family and educational status in regard to what I have stated in this application.
- that my income information provided in this application may be subject to verification by contacting the competent tax authority, the public institution providing social benefits, and my employer.
- that assets are still to be treated as being in my possession in the event that I have fraudulently assigned them to a third party. This is the case if the time of applying for or accepting the scholarship coincides with any assets yielding income being transferred to third parties, particularly to parents or other relatives, without monetary or other compensation of equal value or if such a fraudulent transaction occurs during the period of funding.

I assure that I have provided accurate and complete information.

Place, date

Signature